

Recommended Capabilities for Electronic Recordkeeping Systems

This checklist is provided by the Indiana Archives and Records Administration (IARA) for use when selecting a new recordkeeping system or to assess a current system. If you are in the process of selecting a system, this is a useful list of requirements to share with vendors.

If you have any questions about recordkeeping systems, would like feedback about your system, or help with the checklist, please reach out to IARA at erecords@iara.in.gov.

System Capabilities

File Management

- Supported file formats meet your operational needs
- Ability to convert files to different formats
- File naming practices are supported
- Indexing system support for files and folders
- Checksum capability – creation and validation

Security Controls/Account Management

- Sufficient rights management
- Sufficient security mechanisms to meet your operational requirements or standards
- Ability to prevent unauthorized alteration or destruction of records
- Ability to destroy records in accordance with all relevant policies and procedures
- Timestamped audit trails that document the creator, any modifications, and duplications

Data Recovery

- Provides file version control and recovery
- Provides a mechanism for providing data during a system outage

Standards Compliance

- Meets any regulatory requirements, confidentiality, and privacy agreements specific to your records.
- Provides a mechanism for producing records in compliance with litigation, audit, or public records requests

Ingest/Export of Data

- Bulk ingest capabilities, including any metadata
- Bulk export capabilities, including any metadata
- The ability to export data in a timely fashion without a burdensome process

Documentation from Vendor

- Documentation of who owns data in the system and what rights you have
- System documentation with frequent updates for any new features
- Documentation regarding planned and unplanned downtime and service interruptions
- Exit strategy documentation (end or termination of contract terms)
- Data recovery and continuity capabilities documentation

Vendor System Maintenance

- Vendor offers affordable ongoing technical support
- Vendor offers affordable ongoing training for users
- Ability to refresh hardware or media (standard is a minimum of every 3-5 years)
- Accessible, current procedural manual
- Plan for how you will execute an exit strategy (document resources you will need during your vendor's exit strategy)

Internal Policies & Procedures

- File plan
- Routine audits of system
- Routine Staff training
- Standard Operating Procedure (SOP) for system
- Disaster Recovery Plan
- Continuity of Operations Plan (COOP)